

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions and listings of claims in the application:

Listing of Claims

1. (canceled)

2. (canceled)

3. (canceled)

4. (currently amended) The system ~~as recited by~~ of claim + 34, wherein said interface system processes requested stock option and purchase transactions ~~are~~ to be conducted on one of a cash, cashless and stock swap basis.

5. (withdrawn) The system as recited by claim 1, wherein the finance system further includes a rule system for processing transactions in accordance with at least one set of transaction rules.

6. (currently amended) The system ~~as recited by~~ of claim + 34, wherein the finance system further includes a confirmation system connected for confirming ~~the~~ execution of stock option and stock purchase contracts by the trading system.

7. (withdrawn) The system as recited by claim 1, wherein the finance system further

includes a journaling system that provides a printed transaction record.

8. (currently amended) The system ~~as recited by~~ of claim 1 ~~34~~, wherein the communication system is selected from the group consisting of Internet, an interactive voice response system and an Intranet.

9. (currently amended) The system ~~as recited by~~ of claim 1 ~~34~~, wherein distribution proceeds from a transaction are selected from the group consisting of transfer to participant account, wire, check, and payment through an employee payroll system.

10. (withdrawn) The system as recited by claim 1, further comprising a modeling function.

11. (withdrawn) The system as recited by claim 10, further comprising a transmission system for transmitting the participant information from the nonvolatile database of the administration system to the finance system and transaction information from the finance system to the administration system.

12. (withdrawn) The system as recited by claim 10, wherein the administration system further comprises an update system for updating participant information according to transaction information from the finance system.

13. (canceled)

14. (withdrawn) A system for inquiry and processing of trades made pursuant to at least one of a stock option and a stock purchase plan, the system comprising:

a finance system for automatic processing of a transaction pursuant to at least one of the stock option plan and the stock purchase plan, the finance system including:

a volatile data storage for storing participant information pursuant to a data transfer from a nonvolatile database of a third party administration system;

an interface system for interacting with a participant regarding a requested transaction;

a trading system for conducting individual participant transactions on a public exchange;

a communication system that connects a participant to the finance system; and

a transmission system for transmitting the participant information from the nonvolatile database of the administration system to the finance system and transaction information from the finance system to the administrative system.

15. (withdrawn) A system for inquiry and processing of trades made pursuant to at least one of a stock option and a stock purchase plan, the system comprising:

a finance system for automatic processing of a transaction pursuant to at least one of the stock option plan and the stock purchase plan, the finance system including:

a volatile data storage for storing participant information pursuant to a data transfer from a nonvolatile database of a third party administration system;

an interface system for interacting with a participant regarding a requested transaction;

a trading system for conducting real-time individual participant transactions on a public exchange; and

a communication system that connects a participant to the finance system.

16. (withdrawn) A system for inquiry and processing of trades made pursuant to at least one of a stock option and a stock purchase plan, the system comprising:

a finance system for automatic processing of a transaction pursuant to at least one of the stock option plan and the stock purchase plan, the finance system including:

a volatile data storage for storing participant information pursuant to a data transfer from a nonvolatile database of a third party administration system;

an interface system for interacting with a participant regarding a requested transaction;

a trading system for conducting individual participant transactions on a public exchange;

a communication system that connects a participant to the finance system; and

a modeling function.

17. (canceled)

18. (withdrawn) A system for inquiry and processing of trades made pursuant to at least one of a stock option and a stock purchase plan, the system comprising:

a finance system for automatic processing of a transaction pursuant to at least one of the stock option plan and the stock purchase plan, the finance system including:

a volatile data storage for storing participant information pursuant to a data transfer from a nonvolatile database of a third party administration system;

an interface system for interacting with a participant regarding a requested transaction;

a trading system for conducting individual participant transactions on a public exchange;

a communication system that connects a participant to the finance system; and
a rule system for processing transactions in accordance with at least one set of transaction rules.

19. (withdrawn) A system for inquiry and processing of trades made pursuant to at least one of a stock option and a stock purchase plan, the system comprising:

a finance system for automatic processing of a cash, cashless or stock swap transaction pursuant to at least one of the stock option plan and

the stock purchase plan, the finance system having access to real-time stock market quotes and including:

a volatile data storage for storing participant information pursuant to a data transfer from a nonvolatile database of a third party administration system;

an interface system for interacting with a participant regarding a requested transaction;

a trading system for conducting individual participant transactions on a public exchange;

a communication system that connects a participant to the finance system;

a monitoring system that maintains proper function of the real-time stock market quotes;

a rule system for processing transactions in accordance with at least one set of transaction rules;

a confirmation system;

a journaling system; and

a modeling system.

20. (canceled)

21. (withdrawn) A finance system for automatic processing of a transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system comprising:

- a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;
- an interface system for interacting with a participant regarding a requested transaction;
- and
- a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules.

22. (withdrawn) The system as recited by claim 21, wherein the finance system accesses a quote server that provides real-time stock market quotes to the finance system.

23. (withdrawn) The system as recited by claim 22, wherein the finance system further includes a monitoring system to ensure proper function of the quote server.

24. (withdrawn) The system as recited by claim 21, wherein stock option and purchase transactions are conducted on one of a cash, cashless or stock swap basis.

25. (withdrawn) The system as recited by claim 21, wherein the finance system further includes a confirmation system for confirming the execution of stock option and stock purchase contracts.

26. (withdrawn) The system as recited by claim 21, wherein the finance system further includes a journaling system that provides a printed transaction record.

27. (withdrawn) The system as recited by claim 21, wherein a distribution of proceeds is selected from the group consisting of transfer to participant account, wire, check, and payment through an employee payroll system.

28. (withdrawn) The system as recited by claim 21, further comprising a modeling function.

29. (withdrawn) A finance system for automatic processing of a transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system having access to a quote server for the provision of real-time stock market quotes to the finance system comprising:

a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;

an interface system for interacting with a participant regarding a requested transaction;
and

a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules.

30. (withdrawn) A finance system for automatic processing of a transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system having access to

a quote server that provides real-time stock market quotes to the finance system, and a monitoring system to ensure proper function of the quote server comprising:

a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;

an interface system for interacting with a participant regarding a requested transaction;

and

a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules.

31. (withdrawn) A finance system for automatic processing of a cash, cashless or stock swap transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system comprising:

a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;

an interface system for interacting with a participant regarding a requested transaction;

and

a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules.

32. (withdrawn) A finance system for automatic processing of a transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system comprising:

a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;

an interface system for interacting with a participant regarding a requested transaction;
a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules; and
a modeling function.

33. (withdrawn) A finance system for automatic processing of a transaction pursuant to at least one of a stock option plan and a stock purchase plan, the finance system comprising:

a volatile data storage for storing participant information pursuant to a data transfer from a non-resident, nonvolatile database;
an interface system for interacting with a participant regarding a requested transaction;
a rule system for processing transactions with a trading system in accordance with at least one set of transaction rules;
a confirmation system; and
a journaling system.

34. (new) A system for inquiry and processing of trades made pursuant to a trading plan including at least one of a stock option plan and a stock purchase plan, the system comprising:

a finance system for automatic processing of a transaction pursuant to at least one of the stock option plan and the stock purchase plan; and

a communication system connected to the finance system for enabling a participant of the trading plan to input transaction information regarding a requested transaction in accordance with the trading plan,

wherein the finance system includes:

a volatile data storage for storing participant information, specific to the participant, pursuant to a data transfer from a nonvolatile database of a remote third party administration system;

a first connection for accessing a quote server that provides real-time stock market quotes to the finance system;

a monitoring system for ensuring proper function of the quote server by preventing inaccurate quotes from being provided to the participant;

an interface system, connected to receive the participant information from the volatile data storage and quotes from the quote server in accordance with the monitoring system, for processing the requested transaction in accordance with the participant information; and

a second connection to a trading system for conducting the processed requested transaction on a public exchange.

35. (new) The system of claim 34, wherein the monitoring system makes a detection of when the connection for accessing the quote system fails to receive a quote for a predetermined amount of time, and determines whether a quote from the quote system is accurate or inaccurate in accordance with the detection.

36. (new) The system of claim 35, wherein the predetermined amount of time is predetermined in accordance with dictates of the trading plan.

37. (new) A method for automatically processing transactions made pursuant to a trading

plan including at least one of a stock option plan and a stock purchase plan, the method comprising the steps of:

inputting, to a volatile data storage of a finance system, participant information from a nonvolatile database of a remote third party administration system, the participant information being specific to a participant of the trading plan;

inputting, via a communication system accessible by the participant, transaction information regarding a requested transaction in accordance with the trading plan;

inputting to the finance system, from a quote server, real-time stock market quotes;

monitoring the quote server for ensuring proper function of the quote server by preventing inaccurate quotes from being transmitted to the participant;

inputting, to an interface system of the finance system, the participant information from the volatile data storage and quotes in accordance with the monitoring step;

processing, by the interface system, the requested transaction in accordance with the participant information; and

conducting, via a trading system connected to the finance system, the processed requested transaction on a public exchange.

38. (new) The method of claim 37, wherein the monitoring step makes a detection of when the connection for accessing the quote system fails to receive a quote for a predetermined amount of time, and determines whether a quote from the quote system is accurate or inaccurate in accordance with the detection.

39. (new) The method of claim 38, wherein the predetermined amount of time is

predetermined in accordance with dictates of the trading plan.

40. (new) The method of claim 37, further comprising transmitting updateable transaction information to the nonvolatile database of the administration system.

41. (new) The method of claim 37, wherein the processing step processes requested stock option and purchase transactions to be conducted on one of a cash, cashless and stock swap basis.

42. (new) The method of claim 37, further including the step of confirming, by a confirmation system connected to the finance system, execution of stock option and stock purchase contracts by the trading system.

43. (new) The method of claim 37, wherein the communication system is selected from the group consisting of Internet, an interactive voice response system and an Intranet.

44. (new) The method of claim 37, wherein distribution proceeds from a transaction are selected from the group consisting of transfer to participant account, wire, check, and payment through an employee payroll system.